

PATENT

(Practitioner's Docket No. IN-5552)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Manuela ARMBRUST, et al.

Serial No.: This application is a National
Phase of Patent Application
PCT/EP00/08032 filed 17 August 2000.

Group Art Unit: Not Assigned

Filed: Thursday, February 21, 2002

Examiner: Not Assigned

For: SOL-GEL COATING
Commissioner of Patents
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

Applicant(s) submit(s) herewith patents, publications, or other information, of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose in accordance with 37 C.F.R. §1.56.

The filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made (37 C.F.R. 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. The filing of this Information Disclosure Statement shall not be construed as an admission against interest in any manner.

☒ Submitted herewith is Form PTO-1449 (Modified) listing patents, publications, or other information for consideration by the Office.

COPIES PROVIDED:

☒ Legible copies of all items listed on Form PTO-1449 accompany this information statement, except as indicated below:

☐ Under 35 U.S.C. §120, this application relies on the earlier filing date of prior application Serial No. [____], filed on [____]. The following references were submitted to and/or cited by the Office on this prior application and are therefore not required to be provided in this application:

☐ In accordance with 37 C.F.R. §1.98(c), a copy of only [____] is being submitted with this Information Disclosure Statement, and is cumulative of the following patents or publications listed on Form PTO-1449:

FOREIGN LANGUAGE DOCUMENTS

☐ There are no foreign language documents listed on Form PTO-1449.

☐ Submitted herewith is an English translation of the following foreign language patents, publications or information or of portions of those patents, publications or information considered to be material:

Information Disclosure Statement
Page 2

☒ x

The following non-English language references were cited in the specification. The English language equivalents for these references are being submitted in substitution for the non-English references. They are believed to be the equivalent or substantial equivalent of the English language documents identified below.

Cited	English Equiv.
✓ DE19524182	5726258
✓ DE19613547	5,965,213
DE19709476	5690569
DE2818100	4,220,679
DE3333072	4576868
✓ DE3407087	4746366
DE3628124	4,851,460
DE3706095	5,079,312
✓ DE3807571	4,895,910
DE3814853	4,981,759
DE4204518	5,516,559
DE4222194	5,601,878
✓ DE4421823	6,309,707
✓ EP089497	4,489,135
EP195931	4,730,020
✓ EP228003	4,914,148
✓ EP234361	4,945,128
EP234362	5,075,372
EP256540	4,880,867
✓ EP260447	4,851,460
EP397806	5,370,910
EP521928	5,334,420
EP522419	5,691,425
EP522420	CA2073115
EP523610	5,418,264
EP536712	CA2078650
✓ EP540884	CA2079498
EP543817	5,760,128
✓ EP554783	5576386
✓ EP568967	5425970
✓ EP574417	5,368,944
✓ EP581211	5,342,882
EP584818	CA2104845
EP593454	5,601,880
EP596460	CA2102169
EP596461	CA2102170
EP634431	CA2127761
EP649865	5,571,861
EP669356	5,569,705
✓ EP678536	5,654,391
EP708788	US Application No. 08/564,304 filed 01/22/96.
WO9527742	5447998
✓ EP 436 941	CA 2033530

Information Disclosure Statement
Page 3

☒ English language abstract for the following non-English references are enclosed.

EP069936	English Abstract
EP297576	English Abstract
DE4303570	English Abstract
DE4328092	English Abstract
DE3828098	English Abstract
DE3903804	English Abstract
DE4011045	English Abstract
DE4020316	English Abstract
DE4025215	English Abstract
DE4122743	English Abstract
DE19709465	English Abstract
DE2848906	English Abstract
WO9612747	English Abstract
WO0053687	English Abstract
EP604992	English Abstract
WO9222615	Abstract
WO9422968	Abstract
WO9422969	Abstract
WO9514721	Abstract

☐ No English language translations of the foreign language patents, publications or information or parts thereof are readily available, except for those listed above.

☒ Submitted herewith is an English language version of a search report listing information not in the English language and indicating the degree of relevancy found by the European Patent Office, in satisfaction of the requirement (under 37 C.F.R. §1.98(a)(3)) for a concise explanation of the relevance of non-English information.

☐ A concise explanation of the relevance of the following listed non-English language information is included as presently understood by the individual designated in 37 C.F.R. §1.56(c) most knowledgeable about the content of the information as set forth below:

☐ A concise explanation of the relevance of the following listed non-English language information is set forth in the above-identified specification:

CERTIFICATION:

☒ The Information Disclosure Statement transmitted herewith is being filed **within** three (3) months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office Action on the merits, whichever event occurs last. 37 C.F.R. §1.97(b). Accordingly, it is believed that no certification or fee is due.

☐ The Information Disclosure Statement transmitted herewith is being filed **after** three (3) months of the filing date of the application or the date of entry into the national stage of an international application or after the mailing date of the first Office Action on the merits, whichever event occurred last but **before** the mailing date of either a final action under 37 C.F.R. §1.113 or a Notice of Allowance under 37 C.F.R. §1.311, whichever occurs first. Accordingly, I hereby certify that:

Information Disclosure Statement
Page 4

☐ Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); **OR**

☐ That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); **OR**

☐ Applicant elects the option to pay the fee set forth in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under 37 C.F.R. §1.97(c). Please charge the **\$230.00** IDS submission fee to BASF Corporation **Deposit Account No. 23-3425**. A duplicate of this paper is enclosed.

☐ The Information Disclosure Statement transmitted herewith is being filed **After a Final Action** under 37 C.F.R. §1.113, or **After a Notice of Allowance** under 37 C.F.R. §1.311, whichever occurs first, but **Before Payment of the Issue Fee**. Accordingly, I hereby certify that:

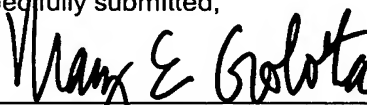
☐ Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); **OR**

☐ That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); **AND**

☐ Applicant hereby petitions for consideration of this Information Disclosure Statement; 37 C.F.R. §1.97(d)(2)(ii). Please charge the petition fee of **\$130.00** to BASF Corporation **Deposit Account No. 23-3425**. A duplicate of this paper is enclosed.

The Commissioner is authorized to charge BASF Corporation Deposit Account No. 23-3425 for any additional fees due hereunder.

Respectfully submitted,



Mary E. Golofa Reg No. 36,814
BASF Corporation
26701 Telegraph Road
Southfield, Michigan 48034-2442
Tel. No.: (248) 948-2020